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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/051,830	
	Filing Date	January 16, 2002	
	First Named Inventor	Xinhui NIU and Nickhil JAKATDAR	
	Group Art Unit	To Be Assigned	
	Examiner Name	To Be Assigned	
Total Number Of Pages In This Submission	5 w/6 REFS	Attorney Docket No.	509982001200

ENCLOSURES (check all that apply)

- | | | |
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| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers
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Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
Form PTO-1449 (1 Page) w/six (6) references
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under 37 CFR 1.52 or 1.53 | | |

Remarks

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual Name	Peter J. Yim (Reg. No. 44,417) Morrison & Foerster LLP 425 Market Street San Francisco, California 94105-2482
Signature	
Date	February 28, 2002

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on February 28, 2002.

Janet Hollrah

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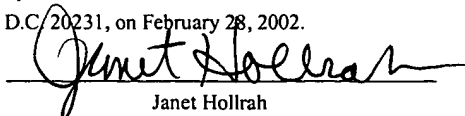
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PATENT
Docket No. 509982001200

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Janet Hollrah

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Xinhui NIU and Nickhil JAKATDAR

Serial No.: 10/051,830

Filing Date: January 16, 2002

For: GENERATING A LIBRARY OF
SIMULATED-DIFFRACTION
SIGNALS AND HYPOTHETICAL
PROFILES OF PERIODIC GRATINGS

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of * is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

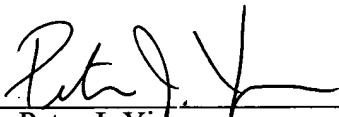
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to

charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 509982001200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

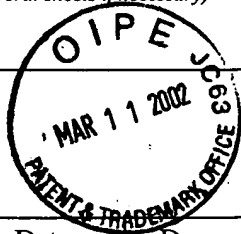
Dated: February 28, 2002

Respectfully submitted,

By: 
Peter J. Yim
Registration No. 44,417

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Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 509982001200	Application Number 10/051,830
	Applicant Xinhui NIU and Nickhil JAKATDAR	
	Filing Date January 16, 2002	Group Art Unit To Be Assigned
	Mailing Date February 28, 2002	



U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	1.	N. W. Ashcroft et al., "Solid State Physics", Saunders College, Philadelphia, 1976, pp. 133-134.
	2.	Ch. M. Bishop, "Neural Networks for Pattern Recognition", Clarendon Press-Oxford, 1995, Ch. 4,, pp. 116-163.
	3.	O. S. Heavens, "Optical Properties of Thin Solid Films", Dover Publications Inc. N. Y. 1991 (book).
	4.	M. G. Moharam et al., "Rigorous coupled-wave analysis of planar-grating diffraction", J. Opt. Soc. Am. vol. 71, no. 7/July 1981, pp. 811-818.
	5.	W. H. Press et al., "Numerical Recipes", Cambridge University Press, 1986 (book).
	6.	J. A. Rice, "Mathematical Statistics and Data Analysis" sec. ed., ch. 14, Duxbury Press, 1995, pp. 507-570.

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EXAMINER:	DATE CONSIDERED:
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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.